22154 U.S. PTO
10/675148
09/26/03

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorn y Docket No. 42P17526
(maximum 12 characters)

First Named Invent r Jun-Fei Zheng et al.

Title: OPTICAL WAVEGUIDE Y-BRANCH SPLITTER

Express Mail Label No. EV320118727US

ADDRESS TO:
Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

1. [X] **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original and a duplicate for fee processing)

2. [] **Applicant Claims Small Entity Status. (37 CFR 1.27)**

3. [X] **Specification** **(Total Pages 24)**
(preferred arrangement set forth below)
- Descriptive Title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. [X] **Drawings(s) (35 USC 113)** **(Total Sheets 8)**

5. [X] **Oath or Declaration** **(Total Pages 6)**
 a. [X] Newly Executed (Original or Copy)
 b. [] Copy from a Prior Application (37 CFR 1.63(d))
 (for Continuation/Divisional with Box 18 completed)
 i. [] DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 c. [] Unsigned.

6. [] Application Data Sheet. (37 CFR 1.76)

7. [] CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. [] Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 a. [] Computer Readable Form (CRF)
 b. [] Specification Sequence Listing on:
 i. [] CD-ROM or CD-R (2 copies); or
 ii. [] paper
 c. [] Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9.	X	**Assignment Papers (cover sheet & documents(s))**
10.		a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
	X	**b. Power of Attorney**
11.		English Translation Document (if applicable)
12.		a. Information Disclosure Statement (IDS)/PTO-1449 (or PTO/SB/08)
		b. Copies of IDS Citations
13.		Preliminary Amendment
14.	X	**Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
15.		Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.		Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17A.		Claim for Foreign Priority
17B.	X	**Other: Certificate of mailing with copy of postcard signed by attorney**

17C. X **Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.**

18. **If a CONTINUING APPLICATION,** check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title (e.g., by way of preliminary amendment), or in an Application Data Sheet Under 37 C.F.R. 1.76:

___ **Continuation** ___ **Divisional** ___ **Continuation-in-part (CIP)**
Of Prior Application No.: _____ **Examiner** _____ **Group Art Unit** _____
(which is a ___ continuation/ ___ divisional/ ___ CIP of prior application no. _____,
which is a ___ continuation/ ___ divisional/ ___ CIP of prior application no. _____) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.
For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. **Correspondence Address**
_____ **Customer Number or Bar Code Label** _____
or **(Insert Customer No. or Attach Bar Code Label here)**

X **Correspondence Address Below**
NAME Cory G. Claassen
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
ADDRESS 12400 Wilshire Boulevard
Seventh Floor
CITY Los Angeles **STATE** California **ZIP CODE** 90025
Country U.S.A. **TELEPHONE** (206) 292-8600 **FAX** (206) 292-8606

Name (PRINT/TYPE): Cory G. Claassen **Registration No.:** 50,296
Signature: _____ **Date:** Sept. 29, 2003

Based on Form PTO/SB/05 (08-03) as modified by BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP on 09/12/03.

Our Reference: 42P17526

Patent

OPTICAL WAVEGUIDE Y-BRANCH SPLITTER

Inventors: Jun-Fei Zheng, Christina Manolatou, Kazumi Wada

Respectfully submitted,

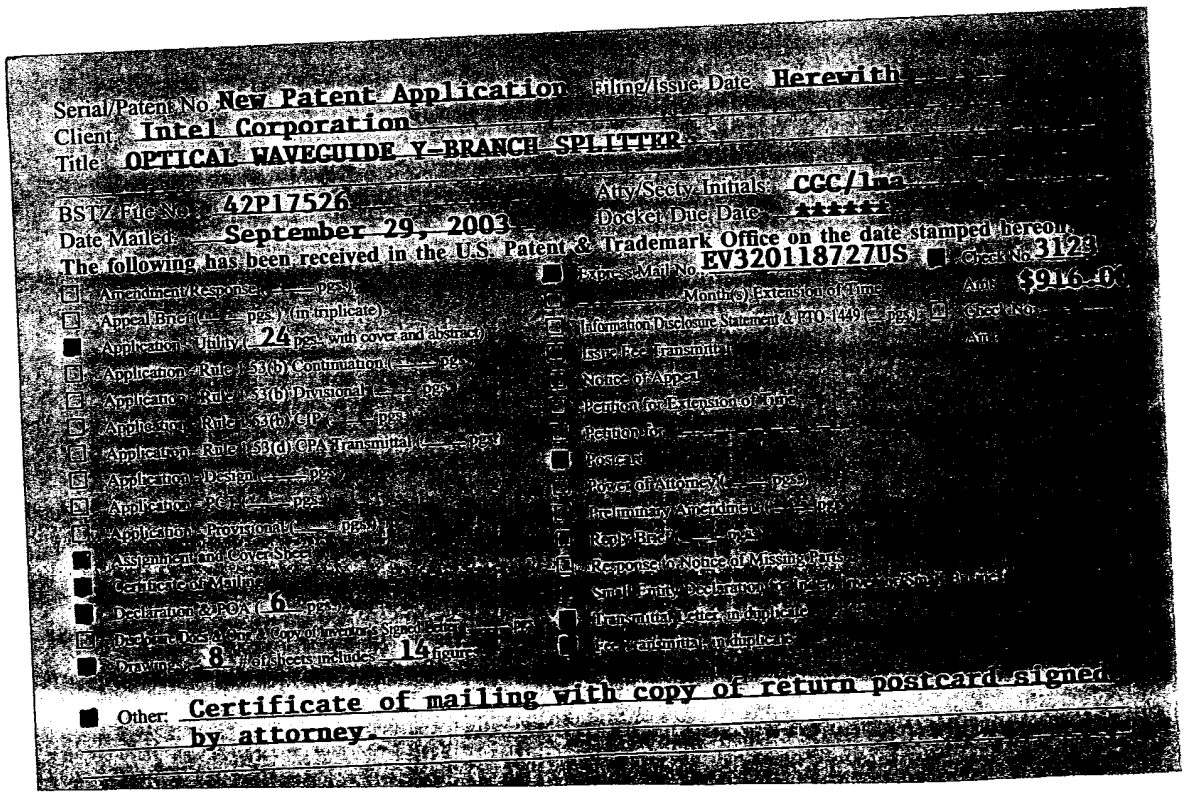
BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP

Cory G. Claassen
Reg. No. 50,296

"Express Mail" mailing label number: EV320118727US
Date of Deposit: September 29, 2003
I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Luci M. Arevalo
(Typed or printed name of person mailing paper or fee)

Luci M. Arevalo, September 29, 2003
(Signature of person mailing paper or fee) (Date signed)



FEE TRANSMITTAL FOR FY 2003

TOTAL AMOUNT OF PAYMENT ($) 916

Complete if Known:
Application No. New Patent Application
Filing Date Herewith
First Named Inventor Jun-Fei Zheng
Group Art Unit Not Yet Assigned
Examiner Name Not Yet Assigned
Attorney Docket No. 42P17526

METHOD OF PAYMENT (check one)

1. [X] **The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:**

 Deposit Account Number 02-2666
 Deposit Account Name

 [X] **Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17**

 [] **Applicant claims small entity status. See 37 CFR 1.27**

2. X **Payment Enclosed:** X **Check**
 ____ **Money Order**
 ____ **Other**

FEE CALCULATION

1. **BASIC FILING FEE**

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
1001	750	2001	375	Utility application filing fee	750
1002	330	2002	165	Design application filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional application filing fee	

SUBTOTAL (1) $ 750

2. **EXTRA CLAIM FEES**

		Extra Claims		Fee from below		Fee Paid
Total Claims	27	– 20** =	7	X 18	=	126
Independent Claims	3	– 3** =	0	X 84	=	0
Multiple Dependent				0	=	0

**Or number previously paid, if greater; For Reissues, see below.

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) $ 126

Based on Form PTO/SB/17 (05-03) as modified by BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP on 05/09/03

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1813	8,800	1813	8,800	Request for inter parties reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive – unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40
1809	750	2809	375	For filing a submission after final rejection (see 37 CFR 1.129(a))	
1814	110	2814	55	Statutory Disclaimer	
1810	750	2810	375	For each additional invention to be examined (see 37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	
1505	300	1505	300	Publication fee for republication	
1803	130	1803	130	Request for voluntary publication or republication	
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	
1454	1,300	1454	1,300	Acceptance of unintentionally delayed claim for priority	

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) $ 40

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Cory G. Claassen

Signature: _____ Date: Sept. 29, 2003

Reg. Number: 50,296 Telephone Number: (206) 292-8600